

COLORADO SCHOOL OF MINES PERFORMANCE PAY PROGRAM

Revised April 1, 2005



I. HISTORY

Since 1945, classified employees of the State of Colorado have been paid under a grade and step system where salaries were adjusted based on prevailing wages as determined by a salary survey, with merit increases given based on longevity and satisfactory job performance. During the 1996 legislative session, HB 96-1262 (CPP) became law and mandated changes to the way classified employees receive pay increases. In 1999, CPP was repealed because of the following concerns: cost neutrality, the plan was perceived as too complicated, fairness and equity, and the perception that too much latitude was given to departments and higher education institutions.

The Department of Personnel suggested an alternative approach that is based on a system of performance evaluation. This approach was approved under SB 00-211. As part of SB 00-211, a performance plan needed to meet certain criteria. Subsequent legislation has modified the criteria. C.R.S. 25-50-104(c) II provides:

- A system that is simple and understandable to employees in the state personnel system,
- A system developed with input from employees in the state personnel system, managers, and other affected parties,
- Emphasizes planning, management, and evaluation of employee performance, and
- Includes uniform and consistent guidelines for all state departments and institutions of higher education.
- Prohibits a forced distribution of performance ratings; and
- Authorizes individual and group performance awards.

In response to the initial legislation and in preparation for this historical change, the Colorado School of Mine's (CSM) Performance Management Steering Committee was established in the fall of 1999. The Committee's initial role and responsibility was to guide and advise the administration in the development and implementation of the School's Performance Pay Program. The original members of the Steering Committee were: Bob Baldwin, Department of Chemical Engineering and Petroleum Refining; Tim Cake, Plant Facilities; Carolyn Giarratano, Office of Financial Aid; Teresa Hall, Plant Facilities; Barby Halliday, Division of Engineering; Mimi Martin, Metallurgy Department; Eric Scarbro, Information Services; Marilyn Schwinger, Geology Department; and, Bob Slavik, Plant Facilities. The Committee was led and coordinated by Debby Page Lane, then Director of Human Resources, and staffed by members of the CSM Human Resource Office.

This Committee developed CSM's Performance Pay Program, which consists of three components: performance management, performance-based pay, and dispute resolution. These components are described in detail below.

Subsequent to the development of the original Performance Pay Program, changes in state personnel rules caused revisions to some components of the Performance Pay Program to be effective for the performance management cycle beginning April 1, 2005. This revised Performance Pay Program contains those revisions.

II. PERFORMANCE MANAGEMENT GUIDING PRINCIPLES

Performance management is a business tool to assist organizations, as well as individuals, in identifying their goals and objectives.

Performance management is a fluid process built on open, ongoing communication in order to build trust and develop a work environment that focuses on continuous improvement and productivity.

Training is a key component to a successful performance management system.

A performance management system should provide a consistent and flexible framework for aligning individual contributions to work unit objectives and strengthening the link between performance and rewards.

There shall be collaboration and communication during all phases of the performance management process.

Employees at all levels share responsibility and are accountable for the success of a performance management system.

Managers, supervisors, and employees must evaluate and clearly define **what** needs to be accomplished and **how** it will be done. These “what” and “how” objectives are interdependent.

III. PERFORMANCE MANAGEMENT PROCESS

A. PERFORMANCE MANAGEMENT PLAN

The Colorado School of Mines, in response to Senate Bill 00-211, developed the initial performance pay program to be implemented as of July 1, 2001. This version, in compliance with subsequent legislative and rules changes, is effective with the performance cycle beginning April 1, 2005. This plan was created in accordance with the parameters set by the Colorado Department of Personnel and as directed by the State Director of Personnel.

CSM's Performance Management process includes planning, coaching and feedback, progress review, and evaluation. The process is used throughout the year to enhance employee performance, recognize the employee's contributions to the institution, and to appropriately determine annual performance awards.

CSM's Performance cycle is from April to March. Supervisors must complete and implement plans for all permanent classified employees between April 1 and April 30. New employees shall have a performance plan established within 30 days of the date of employment.

The supervisor and employee should meet for an initial planning session and jointly establish the performance plan. If the immediate supervisor fails to establish a timely performance plan, the next level supervisor or reviewer is expected to develop the plan. If the second level supervisor or reviewer fails to develop a plan in a timely manner, the reviewer's supervisor (up to the Vice President level) is responsible for completing the plan as required by law. ANY CLASSIFIED SUPERVISOR WHO FAILS TO ESTABLISH A TIMELY PLAN SHALL BE INELIGIBLE TO RECEIVE A PERFORMANCE PAY AWARD. FOR EXEMPT SUPERVISORS, FAILURE TO ESTABLISH A TIMELY PLAN SHALL BE A NEGATIVE FACTOR IN THE SUPERVISOR'S OWN EVALUATION AND ANNUAL SALARY ADJUSTMENT.

Performance management relies heavily on continuous coaching and feedback. Therefore, each supervisor is required to complete a written progress review for all permanent classified employees not later than October of each year.

A written performance evaluation for permanent classified employees shall be submitted to the CSM Office of Human Resources no later than the last working day in March of each year. The CSM Office of Human Resources shall send a letter to any supervisor who fails to meet the March deadline granting that supervisor a 30-day grace period within which to comply. A copy of this letter shall be submitted to the second level supervisor.

If the supervisor fails to comply within the grace period, CSM shall invoke the State Personnel Director's Procedure P-6-2:

Designated raters shall be evaluated on their performance management and evaluation of employees. Absent extraordinary circumstances, failure to plan and evaluate in accordance with the department's established timelines results in a corrective action and ineligibility for a performance salary adjustment. If the individual performance plan or evaluation is not completed within 30 days of the corrective action, the designated rater shall be disciplinarily suspended in increments of one workweek following the pre-disciplinary meeting. (5/2/04).

and/or, Colorado Revised Statute 24-50-104 (c.5) (II), which states:

"A supervisor, including a supervisory state employee not within the state personnel system, who does not evaluate subordinate employees in the state personnel system as required by this paragraph (c.5) on at least an annual basis

shall be suspended from work without pay for a period of not less than one workweek. The provisions of this subparagraph (II) shall not apply to supervisors who are state employees.”

The Department of Personnel system parameters provide that if the supervisor does not provide an evaluation for the employee, the next level supervisor, or reviewer is required to provide the evaluation. If the second level supervisor or reviewer fails to provide the employee with a performance evaluation, the reviewer’s supervisor (up to the Vice President level) is responsible for completing the evaluation as required by law.

Supervision/People Management will be a factor in the performance plan for all classified supervisors. This factor measures and evaluates the effectiveness of the supervisor’s use of performance management with their employees. It is suggested that exempt supervisors have this element incorporated into their evaluation process.

Statewide uniform core competencies are to be included in each agencies performance pay program. These five competencies must be incorporated into every employee’s performance plan and must be considered during every employee’s evaluation. The Core Competencies include Accountability, Communication, Interpersonal Relations, Job Knowledge, and Customer Service. Unique competencies may be identified for each position, but all classified employees shall be evaluated on the five statewide uniform competencies.

There shall be four levels of ratings to be used for performance evaluations: Needs Improvement, Competent, Exceeds Expectations and Exceptional Performer. Narrative documentation shall be provided for each factor and written justification must support the overall rating.

B. COMMUNICATION AND TRAINING

Training is a critical component to any successful performance management system. Ongoing and continuous communication is a vital part of any training process. People have different learning styles and needs, so the Colorado School of Mines will adopt many different methods and make many different opportunities available to its employees for the implementation of CSM’s Performance Pay Program.

Since the inception of the Performance Pay Program, several forums have been held to advise employees of changes, seek input, and to allow the exchange of information regarding a performance pay system. In addition, ongoing training has been offered to supervisors and employees each year. CSM will continue to use these methods of communication.

Each employee and supervisor shall receive training in performance management. Training sessions will be offered on multiple occasions to accommodate the various work schedules. Additional training shall be offered, as well as optional specialized training on specific areas as identified or requested. This training will focus on all aspects of performance management. One-on-one training sessions will be made

available throughout the year for new supervisors and employees, as well as for current supervisors and employees who need and/or want a “refresher.”

Each employee and supervisor shall receive a copy of the CSM Performance Pay Program, a copy of the Evaluation Form, and a CSM Performance Management Users Guide. The user’s guide will outline the procedures for performance planning, coaching and feedback, and the evaluation process. Managers and employees will find the necessary forms and general examples in the User’s Guide. Electronic information will be available through *Campus in Brief*, the campus email system, and on the CSM Human Resources Home Page. Each new classified employee or supervisor shall receive a copy of the CSM Performance Pay Program and the CSM Performance Management Users Guide during their new employee orientation. The CSM Human Resource staff shall be available to provide small group and one-on-one training as needed or requested.

C. PLANNING PROCESS

The evaluation cycle for all classified employees at the Colorado School of Mines is from April 1 through March 31. A performance plan should be created for new employees within 30 days of the date of employment. New employees should attend a general Performance Management training program as soon as possible after employment and, preferably, before the performance planning is completed.

Employees who have received promotions, or have been assigned different duties, should have their performance plans modified as soon as possible after the change of duties. Employees who transfer from another state agency should be treated as a ‘new’ employee.

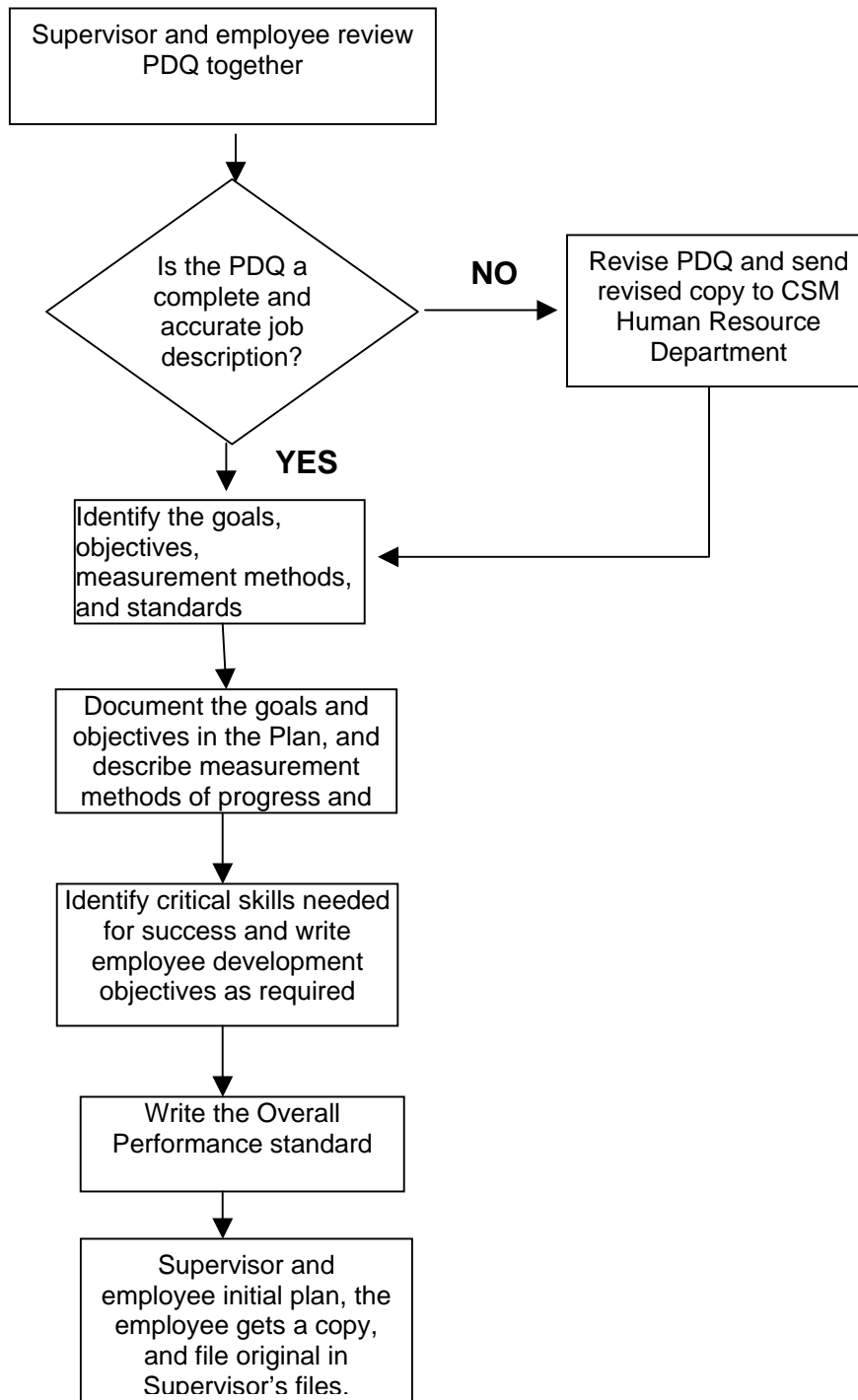
D. WRITING GOALS, OBJECTIVES, AND STANDARDS

CSM Performance Pay Program revolves around identifying and planning a set of goals, objectives, and associated performance standards for individual employees. Goals and objectives are written statements of expected results. They tell how a job responsibility (delineated in the PDQ) and/or competency are to be accomplished. When written effectively, they are challenging, attainable, observable and measurable. Individual, department, and school goals should be linked to each other. Goals and objectives should be specific and defined in terms of results that can be measured to the extent possible. However, they should also be flexible and changed as conditions warrant. The Office of Human Resources can assist supervisors in writing goals and objectives as well as provide access to the state’s performance management on-line library.

Goals and objectives are written to achieve five basic outcomes: to achieve routine assignments; to resolve identified problems; to support innovation; to encourage professional development; and, to support institutional or departmental goals. Examples of developing goals and objectives are found in the CSM Performance Management Users Guide.

Standards are statements that describe how well results and outcomes are achieved. They typically include elements of time, quality, or quantity. Well written standards help assure that supervisors and employees will judge performance consistently and will help reduce the incidence of disagreements that can lead to disputes.

Performance Planning Steps



E. COACHING AND FEEDBACK

Coaching and feedback are essential components of a successful performance management system. Coaching should be used and feedback provided on a continuous basis throughout the evaluation cycle. While the manager/supervisor is responsible for providing performance feedback and coaching, the individual employee is responsible for actively soliciting feedback and using the data to improve performance. A highly effective manager will regularly provide feedback and coaching, but an employee can still solicit assistance and eliminate potential problems by initiating a coaching session with the supervisor.

Just as the manager/supervisor is responsible for providing feedback and for revising the performance plan as appropriate, the employee also has an obligation to communicate with the supervisor, identify training needs, and provide follow-up to achieve identified objectives.

F. PROGRESS REVIEW

Performance management relies heavily on continuous feedback and communication. Therefore, each supervisor shall complete a written progress review for all permanent classified employees not later than October for each evaluation cycle.

G. PERFORMANCE EVALUATION PROCESS

The purposes of the evaluation process are to provide information important to the planning process; assess the employee's performance; provide a basis for pay adjustments; allocate time for communication, feedback, and coaching; and identify training and development needs for employees. If done properly, the evaluation will provide a detailed and accurate picture of the employee's performance. Employees, supervisors, and managers will be trained in the performance evaluation process as outlined in training and communication section.

The evaluation cycle for all classified employees at the Colorado School of Mines is from April 1 through March 31. When a written performance evaluation for permanent classified employees is completed it shall be submitted to the CSM Office of Human Resources. If a supervisor fails to evaluate an employee, that employee shall receive a default rating of "Competent" until a final rating can be given.

There are four performance levels used in the evaluation process for classified employees. The rating levels are outlined below:

- **Exceptional Performer:** This is the highest overall rating. This rating shall be **unique** and **difficult to achieve** because it represents consistently exceptional performance or achievement beyond the regular assignment. This rating represents consistently exceptional and documented performance or consistently superior achievement beyond the regular assignment. Employees make exceptional contribution(s) that have a significant and positive impact on the performance of the unit or the organization and may materially advance the

mission of the organization. The employee provides a model for excellence and helps others to do their jobs better. Peers, immediate supervision, higher-level management and others can readily recognize such a level of performance.

- **Exceeds Expectations:** This rating is given to an employee who **consistently exceeds** the expectations, standards, requirements, and objectives of the position. This rating level encompasses the accomplished performers who consistently exhibit the desired competencies effectively and independently while frequently exceeding expectations, standards, requirements, and objectives of the job assigned. Their work has a documented impact beyond the regular assignments and performance objectives that directly supports the mission of the organization.
- **Competent:** This rating is given to an employee who **meets all aspects** of the expectations, standards, requirements, and objectives of the position. This rating level encompasses a range of expected performance. It includes those employees who exhibit competency in the work behaviors, skills, and assignments for the job as well as those employees who are successfully developing in the job. These employees are meeting all the expectations, standards, requirements, and objectives on their performance plan and, on occasion, may exceed them. This is the employee who reliably performs the job assigned.
- **Needs Improvement:** The lowest overall rating. This rating is given to an employee who **frequently fails** to meet the expectations of the job. This rating level encompasses those employees whose performance does not consistently and independently meet expectations set forth in the performance plan as well as those employees whose performance is clearly unsatisfactory and consistently fails to meet requirements and expectations.

Marginal performance requires substantial monitoring to achieve consistent completion of work, and requires more constant, close supervision. Though these employees do not meet expectations, they may be progressing satisfactorily toward a level 2 rating and need to demonstrate improvement in order to satisfy the core expectations of the position.

The evaluation process includes preparing for the evaluation, writing the evaluation, discussing the results with the employee, and forwarding to next level supervisor or reviewer. If an employee receives a Needs Improvement rating, a performance improvement plan and/or corrective action must accompany the evaluation form.

Information about the employee's job performance should be obtained from multiple sources including peers, internal and external customers, and direct reports if appropriate. If the employee reported to more than one supervisor during the evaluation period, feedback from both should be considered when preparing the evaluation. Supervisors must determine the credibility and reliability of the information provided.

Supervisors are not required, but are strongly encouraged, to assign a performance rating to new employees beginning in January through March. If the supervisor does not to give a rating, the default level of Competent will be given to the new employee.

Employees functioning under a 'matrix' organization or as part of a team offer special challenges. The User's Guide provides suggestions and guidance for managers and employees working in these environments.

CSM's Performance Pay Program stresses the importance of completing the narrative section of the performance evaluation. This portion of the evaluation should describe in detail the basis for the evaluation decision, provide feedback to the employee, identify training needs, and provide direction for the performance plan for the next evaluation period.

SIGNATURES AND INSTITUTIONAL REVIEW

Immediate supervisors will meet with their employees by the end of March as part of the evaluation process to discuss results over the performance cycle. Both the employee and the supervisor should prepare for this meeting. The final overall rating is not given at this time. The supervisor should consider all information, complete the CSM Performance Management Form with a recommended rating, and provide the form to the reviewer.

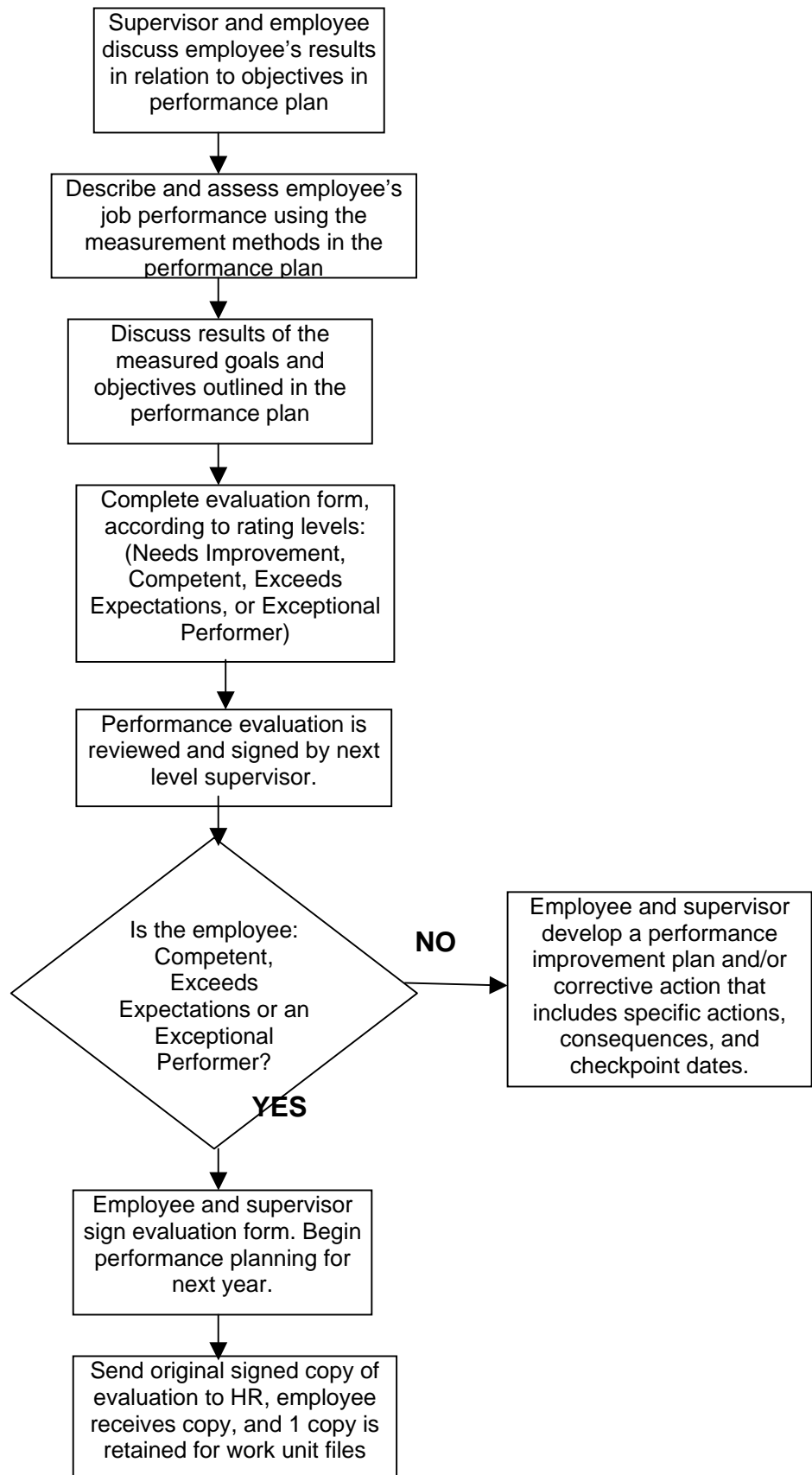
A designated reviewer will review an employee's completed evaluation. Usually, the 2nd level supervisor is the reviewer. This is to be accomplished before the final evaluation is given to the employee by the immediate supervisor. Reviewers are encouraged to meet with other designated reviewers to ensure completion of evaluations with some consistency throughout the school.

CSM'S Performance Program includes an institutional review of all evaluations by the Vice Presidents, or their designees to ensure the evaluations comply with Program guidelines.

REPORTING REQUIREMENTS

Statistics will be maintained in the Office of Human Resources and will be reported to the State Personnel Director as requested.

Performance Evaluation Process (March of each year)



IV. PERFORMANCE-BASED PAY

Pay associated with the Colorado School of Mines Performance Pay Program is governed by the following statewide requirements:

1. Appointing authorities are responsible for making pay decisions based on the evaluation rating. All increases are subject to available funding and no increase is guaranteed.
2. Prior to the payment of annual performance salary adjustments, the State Personnel Director shall specify and publish the percentage ranges for performance levels based on the available statewide performance pay funding. This will be done in conjunction with the Total Compensation Survey that is conducted according to statute and published each year. Part of these components will include the establishment of maximum increases, which may be stated as a percentage range or a set percent.
3. Consistent with the provisions established by the State Personnel Director, CSM will specify the limits for the Competent (X%), Exceeds Expectations (Y%), and Exceptional Performer (Z%). Within the parameters as specified by the State Personnel Director, CSM's levels may be based upon available budget, student enrollment levels, employee demographics, distribution of ratings, or other permissible factors.
4. Salary increases can be base building, non-base building, or a combination thereof as published by the State Personnel Director. No quotas or forced distribution processes for determining the number of ratings in any of the four performance levels shall be established. The effective date of these increases will be July 1st of each year or other date as required by law, personnel rule or as allowed by CSM procedures.
5. For purposes of the state's performance pay system, a pay range will be defined as the range of base salary between the minimum and maximum of the grade set for a class.
6. Only employees below the maximum of the range are eligible for base building performance salary adjustments. Base building performance salary adjustments cannot exceed the pay range maximum. Only Exceptional Performers may be granted a non-base building performance salary adjustment from 0% to Z% that results in a dollar amount above the pay range maximum (the upper limit of "Z" is determined annually by the State Personnel Director and by CSM using the parameters set by the State Personnel Director).
7. Employees currently at the maximum of the range are eligible for performance salary adjustments only if their rating is Exceptional Performer. In these instances, payments are limited to non-base building performance salary adjustments (0% to Z%). Employees at the maximum of the range who receive

an Exceeds Expectation or Competent rating are not eligible for any performance increase.

8. Regardless of the performance level, an employee cannot be granted an increase, or combination of increases, greater than the set performance maximum that is established by the State Personnel Director.
9. An employee who receives an overall Needs Improvement rating is not eligible for a performance salary adjustment.

The funding process for CSM and other institutions of higher education is different than for other state agencies. Other state agencies have a 'line item' for funding increases for performance salary adjustments and increases in benefits contributions. This is not the case for CSM and other state institutions of higher education. A significant portion of the funding for salary survey increases and performance increases often is based on the tuition (increases/decreases) levels of graduate and undergraduate students who attend CSM. Therefore, student enrollment levels could have an impact on the funds available for performance salary adjustments.

CSM is committed to funding pay increases for both faculty and classified staff. In addition to funding salary survey for classified staff, CSM desires to make comparable funds available for faculty raises. However, future revenue must be considered before increase percentages can be finally determined.

CSM also encourages the use of non-monetary increases to supplement base-building performance salary adjustments. Quotas or forced distribution processes for determining the number of ratings at any of the four rating levels is strictly prohibited. Decisions regarding all base and non-base building increases will be allocated at the Vice President level. The type of increase (base, non-base, or a combination of both) available for classified employees shall be jointly determined by the Vice Presidents and will be consistently applied to all eligible classified employees. The type of increases and percentages available will be communicated to employees prior to payment. The Vice Presidents shall establish minimum common criteria for determining eligibility for base, non-base or combination increases. Source of funds (e.g., cash, general, or research), and length of state service shall not be criteria for distinguishing between non-base and base building or combination performance increases. All performance salary adjustments shall be based on July 1 salary in the order as prescribed under State Personnel Procedure 3-7.

The performance salary adjustment for an employee, without prior continuous state service, hired during the evaluation period may be prorated based on the month of hire as annually determined by CSM (i.e., an person employed for six months of the twelve-month cycle would receive half of the increase to which they would otherwise be entitled). An employee hired after being a temporary employee in the same role may have his/her performance as a temporary considered in their overall performance rating. However, any performance salary adjustment to which they may be entitled shall be prorated based on the month of hire as a permanent employee.

Transferring employees without a break in service and employees promoting from other state employers shall be entitled to a full performance salary adjustment based on their final performance rating. Consideration may be given to the rating received from their former employer. As a condition of employment, hiring supervisors should have an agreement with the transferring/promoting employee whether the former evaluation will be considered.

Employees transferring or promoting between CSM departments are entitled to a full performance salary adjustment based on their final performance rating. Consideration shall be given to the interim rating given by the former supervisor. The new supervisor/department shall be financially responsible for any increase received by the new employee.

The performance salary adjustment for an employee on an extended 'leave' or 'leave without pay' is at the discretion of the supervisor and appointing authority. A full or partial performance salary adjustment may be given.

V. DISPUTE RESOLUTION PROCESS

Employees and managers may have differences of opinions related to performance standards and evaluation ratings. Employees may question certain matters regarding performance plans and ratings through the dispute resolution process. The purpose of the dispute resolution system is to create an open, impartial, and non-confrontational opportunity that allows the parties to have issues heard. Retaliation against any person involved in the dispute resolution process is prohibited and will be dealt with according to CSM policy.

Employees may only dispute the following issues:

- **Their own performance plan (or lack of a plan);**
- **Their own final performance evaluation or the lack of a final evaluation;**
- **Application of CSM's Performance Pay Program, policies, or processes to the individual employee's performance plan or final evaluation; or**
- **Full payment of a performance salary adjustment.**

The following issues are NOT disputable*:

- **The content of CSM's Performance Pay Program;**
- **Matters related to the funds appropriated;**
- **The performance evaluation and salary adjustments of other employees;**
and
- **The amount of a performance salary adjustment, including whether it is base or non-base building, any combination or none, unless the issue involves the application of CSM's Performance Pay Program.**

**Although these issues are not disputable, supervisors and managers are encouraged to make sincere efforts in responding to, and/or addressing any concerns raised by their employees.*

There are two stages within the Dispute Resolution Process – the Internal Stage and the External Stage. CSM believes in resolving concerns as quickly as possible and at the lowest level possible. Therefore, CSM will attempt to solve all issues related to performance management at the Internal Stage. The Internal Stage will address issues concerning the individual's performance plan (or lack of a plan) and the individual's performance evaluation or lack thereof. These issues will be addressed at the institution level, and employees will have no further recourse for resolution of these matters.

The External Stage addresses disputes concerning the application of the CSM Performance Pay Program, policies or processes to the individual employee's performance plan or final evaluation, or full payment of a performance salary adjustment. Discussions about these disputes should begin at the Internal Stage. If there is no resolution at the Internal Stage, the issue may proceed to the State Personnel Director.

Performance evaluation disputes that allege discrimination must be referred to the State Personnel Board at 1120 Lincoln, Suite 1420, Denver, CO, 80203.

The Colorado School of Mines Performance Dispute Resolution Form and instructions for the process will be given to CSM employees annually. An employee wishing to initiate the Dispute Resolution Process, regarding the appropriate issues identified above, will advise his/her supervisor within **three working days** of the event. The employee must complete the CSM Performance Dispute Resolution Form and provide a copy of the form to the immediate supervisor, Division and/or Department Head of the employee's work unit, and to the CSM Director of Human Resources.

The supervisor will have **five working days** upon receipt of the Dispute Resolution Form to schedule a meeting with the employee, the supervisor, and the next level supervisor (or reviewer) to discuss the issues. Extension of this time frame is allowed only if both parties agree, or in the event that the reviewer is away from CSM (in such a case, the meeting must be scheduled within five working days of the reviewer's return to CSM).

Three working days following the meeting, the supervisor will provide the employee with a written response to the employee's concerns. The written response shall include the issues discussed, possible resolutions, and the collective decision of the supervisor and the reviewer. A copy of this response must be provided to those who took part in the meeting and to the CSM Director of Human Resources.

If the employee is not satisfied with the initial decision, he/she can request a second review, submitted in writing, to their appropriate Vice President. This request for a second review must occur within **three working days** of receipt of the initial decision. The Vice President will have **five working days** to meet with the employee and the two supervisory employees.

The Vice President will review the facts surrounding the current action but shall not substitute his or her judgment for that of the rater and/or reviewer. The Vice President

will issue his/her decision within **three working days** of the meeting. This decision shall be binding on all issues except those that allege that the CSM Performance Management Program was not followed or that complete payment of the approved performance salary adjustment was not made. For those that allege that the plan was not followed or payment of an approved performance salary adjustment was not received, the employee may proceed to the External Stage.

No party has an absolute right to legal representation, but an advisor may accompany the employee at any step within this process. The role of the advisor is to assist the employee in the process but the employee is expected to present his/her issues in these meetings.

The Director of the State Personnel Department administers the External Stage. Only original issues involving the application of the performance management program, or full payment of an award may advance to this stage.

Within **five working days** from the date of the agency's final decision, an employee may file a written request for review with the Director at 1120 Lincoln, Suite 1420, Denver, CO, 80203. The request shall include a copy of the **original** issue(s) submitted in writing and the written decision at the final internal review stage. All requests for review are subject to an initial screening to determine if the review is warranted. Such screening is based on specific criteria published by the Director. If a determination is made that further review is not warranted, it is final and binding and the employee will be notified accordingly. If further review is warranted, the Director or designee shall select a qualified neutral third party to review the issue(s). The neutral third party has 30 days to issue a written decision, which is final and binding.

COLORADO SCHOOL OF MINES

IV. PERFORMANCE MANAGEMENT

USER GUIDE

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PREFACE

The Colorado School of Mines Performance Management System and the associated *Performance Management User Guide* and forms were created in accordance with State of Colorado statutes, Performance Management guidelines, and Rules and Procedures of the State Personnel System. They were developed with input from employees and managers, approved by the administration of the Colorado School of Mines, and are intended to be dynamic and flexible to meet the diverse work situations of the employees of the Colorado School of Mines. This *User Guide* has been revised to include state personnel rules changes effective in May 2004. It was developed with new employees and managers in mind, however it should be considered a resource for everyone.

Performance management is critical to success at all levels within the organization. A good performance management system should link employee goals and behaviors to the organization's strategic focus and program directions. If goals are developed properly their achievement may be more easily associated with an individual so that appropriate individual accomplishments may be recognized and rewarded. To this end, the Colorado School of Mines performance management system has been designed to encourage collaborative efforts between supervisors and employees, with emphasis on continuous feedback and improvement.

I. Overview

Performance management is a flexible business tool that measures employees' contributions and commitment to CSM's success while identifying, enhancing, and rewarding individual job performance and skills. It is a fluid process built on open, ongoing communications in order to build trust and develop a work environment that focuses on continuous improvement and productivity.

Successful performance management includes the following characteristics:

- ◆ Everyone is responsible and accountable for the success of the process.
- ◆ The employee and supervisor collaborate and communicate during all phases of the process.
- ◆ Managers, supervisors, and employees evaluate and define **what** needs to be accomplished and **how** to accomplish it. These **what** and **how** objectives are interdependent and represent an individual's performance expectations.
- ◆ Managers, supervisors, and employees develop qualitative, quantitative, or other measures to assess how well these "what and how" objectives are accomplished.
- ◆ The overall work environment focuses on continuous improvement for the individual and the organization.

The CSM Performance Management system was developed with these characteristics as basic values. It is divided into three components: planning, coaching and feedback, and evaluation. The process is used throughout the year to enhance employee performance. The planning process is discussed in Section II, Section III covers the coaching/feedback and progress review process, and Section IV explains the evaluation process.

Two factors are critical to the success of the performance management process:

- 1) *Communication* between supervisor and employee.
- 2) *Documentation* of planning, reviewing, and evaluating.

Either employee or supervisor can initiate communication. An employee needs to know about job performance expectations and the supervisor needs to know about problems and new situations. Both employee and supervisor should document events that affect the performance plan, evaluation, and what is being evaluated. The Performance Management form has narrative sections for this purpose.

Performance Management should be collaborative; that is, employee and supervisor work together on developing the performance plan. However, supervisors may decide to do some work without the employee's input. For example, a supervisor of three employees who have essentially the same duties could develop the goals and draft narrative sections without input from the employees. However, the supervisor must have meetings with each employee, and all employees need to understand the terms of

the plan and how each goal will be evaluated. With this in mind, the collaborative process is described in this *User Guide*.

TIMELINES AND REPORTING REQUIREMENTS

- **A performance plan should be created for new employees within 30 days of their hire date.**
- **Supervisors are not required, but are strongly encouraged, to establish a plan and give an evaluation to new employees who begin employment January through March. If the supervisor does not give a rating, the default level of Competent will be assigned to the new employee.**
- **Classified employees of the Colorado School of Mines shall have plans/evaluations on the same cycle – April 1 through March 31 of each year.**
- Each supervisor is required to document at least one coaching/progress review meeting (not later than **October**) for all permanent classified employees.
- Employees who have received promotions, or have been assigned different duties, should have performance plans created or modified as soon as possible after the change of duties, or within 30 days.

Performance management relies heavily on continuous coaching and feedback and this should occur frequently, especially when there is a need for improving job performance.

If a supervisor fails to meet the March deadline, the Office of Human Resources will grant the supervisor a 30-day grace period. If the supervisor fails to comply with the grace period, CSM shall invoke the State Personnel Director's Procedure P-6-2:

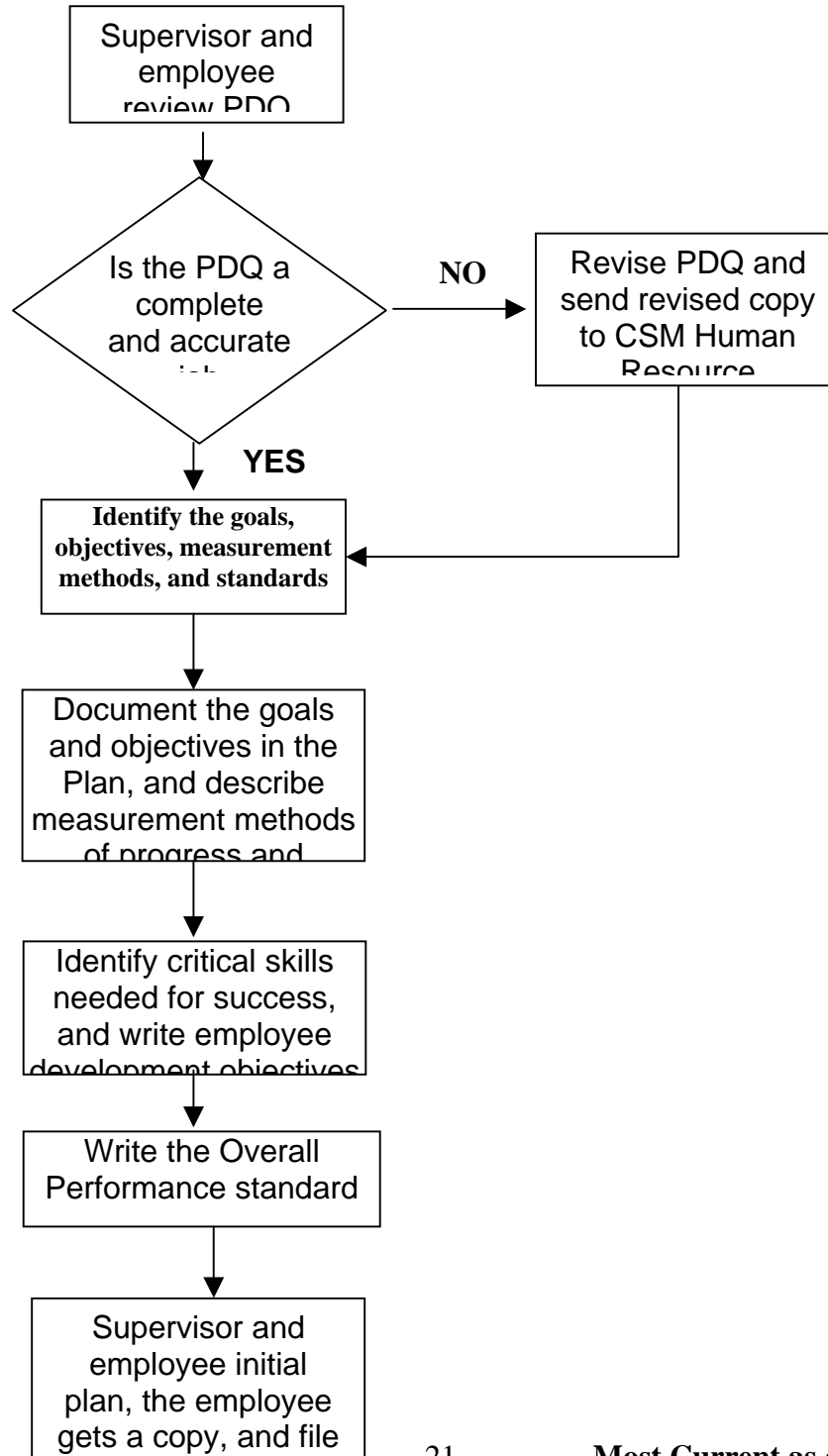
Designated raters shall be evaluated on their performance management and evaluation of employees. Absent extraordinary circumstances, failure to plan and evaluate in accordance with the department's established timelines results in a corrective action and ineligibility for a performance salary adjustment. If the individual performance plan or evaluation is not completed within 30 days of the corrective action, the designated rater shall be disciplinarily suspended in increments of one workweek following the pre-disciplinary meeting. (5/2/04).

And/or, Colorado Revised Statute 24-50-104 (c.5)(II), which states:

"A supervisor, including a supervisory state employee not within the state personnel system, who does not evaluate subordinate employees in the state personnel system as required by this paragraph (c.5) on at least an annual basis shall be suspended from work without pay for a period of not less than one workweek. The provisions of this subparagraph (II) shall not apply to supervisors who are state employees."

II. PLANNING PROCESS

Performance Planning Steps:



PLANNING PROCESS

Every component of the CSM Performance Management plan is part of a cooperative effort and should foster extensive communication as well as promote continuous improvement and increased productivity. The most critical component of this process is the planning stage.

All active positions in the classified personnel system at the Colorado School of Mines have an official job description, a Position Description Questionnaire (PDQ). There should be one on file in the department where the position resides and in the Office of Human Resources.

The PDQ serves the following purposes:

- 1) It establishes the essential functions of the position
- 2) Describes the duties and responsibilities
- 3) Is the primary document for determining job classification and
- 4) Is a tool for developing an employee's performance plan.

Before any performance planning can be done, the employee and supervisor should carefully review the PDQ to ensure that it describes the duties and responsibilities of the position. They need to agree upon and understand the work assignment.

In addition to the PDQ, the employee and supervisor should review the *Statewide Core Competencies*. These are measurable patterns of skills, knowledge, behaviors and other characteristics that each employee needs to successfully perform in their work roles at CSM. These competencies include:

- Accountability
- Communication
- Interpersonal Relations
- Job Knowledge
- Customer Service

Classified employees who are supervisors will be evaluated on Supervision/People Management as well as on the core competencies.

New employees will receive a copy of the *Statewide Core Competencies* during New Employee Orientation, but the supervisor and employee should discuss the standards when establishing the performance plan.

The most important component of the planning process is the planning meeting. Another component involves completing the Planning Section of the *Performance Management Form*. For ease of understanding, the performance planning process may be broken down as follows:

1. Prepare for the meeting by gathering the necessary materials—a copy of the Position Description Questionnaire (PDQ), the *User Guide*, *Statewide Core Competencies*, and the *CSM Performance Management Form*.
2. Prior to the meeting, both supervisor and employee review the PDQ for accuracy and adequacy, review the *User Guide*, *Statewide Core Competencies*, and the form, consider the past performance period, and think about goals and objectives for the future.
3. During the meeting, supervisor and employee discuss the duties and responsibilities, future goals and objectives, methods of measure, and what distinguishes exceptional, exceeds, and competent performance. It is important that the supervisor and employee identify what might cause an employee to be less than competent; hopefully those behaviors can be avoided.
4. Every employee should have at least two specific Individual Performance Measures incorporated into their plan. These are duties, responsibilities, and/or behaviors that are specific to the employee and/or position. During this time the supervisor and employee should discuss any training and development activities that might occur during the appraisal period.
5. Following the meeting, the supervisor is responsible for refining the discussion and preparing all narrative portions the planning section of the *Performance Management Plan and Evaluation Form*.
6. The performance plan is finished with a meeting between the supervisor and the employee when the form is finalized, signed, and dated. Any changes can be written on the plan. The supervisor files the original signed plan in appropriate departmental or personal files and the employee is given a copy.

WRITING GOALS AND OBJECTIVES

CSM Performance Management revolves around identifying job relevant outcomes, results, behaviors, knowledges, and skills. This is accomplished by writing goals and objectives. For any employee performance goals are targeted levels of activity (job duty and/or competency) expressed as tangible, measurable objectives. They should be specific and defined in terms of results that can be measured against the actual achievement. When written effectively, they are **challenging, attainable, observable, and measurable**. Individual, department, and school goals should be linked to each other. However, they should also be flexible and changed as conditions warrant.

When writing goals and objectives, keep in mind the following model:

S.M.A.R.T. GOALS ARE:
Specific – they precisely define the work involved
Measurable – quantitative, qualitative, and timely
Agreed – both supervisor and subordinate are committed
Realistic – an acceptable but stretching challenge
Timed – specify completion and review dates

Goals and objectives are written to achieve five basic outcomes: to achieve routine assignments; to resolve identified problems; to support innovation; to encourage professional development; and, to support institutional or departmental goals.

As part of the performance planning process, a discussion should occur between the supervisor and employee about how the goals are to be measured. This discussion should focus on objective and subjective assessments. Both supervisor and employee need to understand the importance of these two types of assessments and how they are used in performance management.

Objective Assessments rely on counting, measuring, or using some form of non-disputable observation. These assessments often involve quantity of work (productivity), timeliness (meeting deadlines), accuracy, completeness, or any combination of any of these. Examples of clear, understandable, objective assessments include:

- 1) **Requiring an employee to enter 50 transactions per day.**
- 2) **Returning phone calls within a 24-hour period.**
- 3) **Mopping 500 square feet in a 30-minute time period.**

In the best of all worlds, it would be desirable if all aspects of performance evaluation could be based on objective measures. Certainly, there may be objective methods for evaluating performance for many assignments. The reality is that no position exists that can be totally evaluated using objective measures. There is also a danger, however, in striving to find objectively measurable performance indicators -- many things can be measured, but such indicators must not fail to be relevant to truly successful performance of the job.

Subjective Assessments rely on the interpretation of an observer or is based on the description of desired behaviors or competencies. These judgments focus on 'how well' work is done. The *Statewide Core Competencies* are behaviors that are critical to success for all CSM employees. For example an employee's professional image, demeanor, communication style, or interpersonal interactions may result in a negative reaction by an observer or customer.

The supervisor comments on the situation or evaluates the employee based on this behavior. The decision may be that the employee needs to fix the problem. An employee may believe that s/he did nothing wrong and has the opinion that everything was done or said appropriately or properly. Yet, the effect on the observer or customer was real *to that person*. This is subjective. The supervisor is responsible for making

subjective decisions about a subordinate employee's performance; *it is required and a necessary part of evaluating job performance*. Of course, the supervisor may use other sources for observation, such as customer feedback and co-worker input.

Below are examples of goals for an Administrative Assistant and a Maintenance Mechanic. Below the goal is an example of the assessment technique used to measure the success of the goal.

Administrative Assistant

The following is a duty statement for an Administrative Assistant:

Uses word processing and spreadsheet software to compose correspondence, teaching materials, grants, schedules, letters, reports, budget summaries, etc. Edits and reviews documents as appropriate.

A Performance Goal for this duty might be:

Demonstrates knowledge of MS Word and Excel as it relates to documents and financial reports. This knowledge includes the use of tables; applying colors, borders, graphics; formula calculations; and other techniques.

An example of the performance measure (Objective) might be:

A “Competent” rating will be achieved by creating documents and financial reports that are properly formatted and grammatically correct, demonstrating knowledge of outlines, tables, text boxes, and mail merge. (A QUALITY indicator) These skills should be demonstrated within three (3) months of the performance plan date. (A TIMEFRAME indicator)

An “Exceptional Performer” rating will be given if, in addition to the above, it is demonstrated how these and other MS software products are linked and can be utilized together. The monthly financial reports are updated in advance of the deadline for easy of data entry and summary total calculations.

Another duty statement for an Administrative Assistant:

Greets incoming visitors, answers and directs incoming phone calls, and answers questions from students, faculty, and staff about departmental programs.

A Performance Goal for this duty might be:

Demonstrates knowledge departmental programs and operations including application processes and entrance information. Greets visitors immediately and in a courteous manner and provides them with the necessary information.

An example of the performance measure (Subjective):

A “Competent” rating will be achieved by satisfying visitor requests; they receive what they requested, and were helped immediately and not referred to someone else unnecessarily. This is documented through supervisor observation and customer survey.

An “Exceptional Performer” rating will be given if, in addition to the above, it is demonstrated that the customer received more than they asked for and were offered viable alternatives for satisfying their requests.

Maintenance Mechanic

The following is a duty statement for a Maintenance Mechanic:

Performs repairs, renovations, and remodels building structures and rooms at CSM.

A Performance Goal for this duty might be:

Demonstrates knowledge of carpentry and general maintenance when installing and/or repairing floor covering and counter tops. This includes ordering supplies, scheduling jobs, and seeing job through to completion.

An example of the performance measure (Objective) might be:

A “Competent” rating will be achieved by arriving at the project site on time, follows safety procedures, completes 80% of the projects on time, and ensures the area is clean when finished. (A log is kept or a report is generated from completed work orders to verify completion)

An “Exceptional Performer” rating will be given if, in addition to the above, it is demonstrated that all projects are completed within deadlines outlined in the work orders. Presents alternatives when unforeseen circumstances arise and is still able to meet the completion deadlines.

Another Performance Goal:

Provides one (1) idea per year to improve the department’s service or how to reduce occasional down time.

An example of the performance measure might be (Subjective and Objective):

A “Competent” rating would occur by meeting the performance goal.

A “Exceptional Performer” rating would given when the idea has a significant effect on the department or a substantial dollar savings to the department and the mechanic leads the implementation of the idea.

Both of these examples include all of the components of the S.M.A.R.T. model. They are **specific**; they include methods of **measurement**; they establish **achievable** goals,

yet they clearly expect the employees to work for the objectives for the types of positions; they are **realistic**; and they include **time** constraints.

The Office of Human Resources has access to a number of resources to aid in setting performance objectives and standards. Managers and employees who want assistance in linking duties and competencies as well as develop goals and establish measurements are encouraged to contact the Office of Human Resources.

NARRATIVE

Performance Management requires discussion and communication. Performance planning, coaching/feedback, and performance evaluation cannot be successful without a clear understanding of the expectations of the job. The planning phase is not complete until the narrative sections are completed. Additional pages may be added, as necessary.

Training plans can also be included into the planning section of the *Performance Management Form*. Some employees will be learning and applying knowledge and skills necessary for success on the job. Careful consideration should be given to any new assignments for the position requiring orientation or training, any areas of weakness in the preceding evaluation, or any areas that would be appropriate for developmental training. When this section is completed, the supervisor is agreeing that time or opportunity will be made available for the employee to attend the program, and the employee is agreeing to learn and apply the skills or knowledge. The training plans can be incorporated into a goal or objective.

III. COACHING AND FEEDBACK

Coaching and feedback are vital components of performance management. These activities bridge the time between the performance plan and the evaluation. They allow for regular communication regarding an employee's performance, identify developmental needs, and help to prevent surprises at evaluation time.

While the manager/supervisor is responsible for providing performance feedback and coaching, the individual employee is responsible for actively requesting feedback and using the data to improve performance, eliminate potential problems, and identify training needs.

Below are some coaching and feedback tips that can be used by both employees and supervisors.

- Supervisors should hold periodic, ongoing reviews with their employees. Do not limit interactions to the annual planning and evaluation meetings.
- Establish a check-list to review on a monthly basis.
- Acknowledge good performance immediately.
- Address problems immediately, and do not postpone addressing them until the annual evaluation meeting.
- Observe and record specific examples of performance whenever they occur. Provide specific feedback, not vague, general observations. Document both good performance as well as poor performance.
- Keep communication open and frequent. Supervisors should ask employees about their feelings and perceptions regarding their performance, and respond to their input.

Feedback can be both positive and corrective. Acknowledge both. Key elements of effective feedback are.

- Timely: It is as immediate as possible.
- Specific: It is detailed and descriptive.
- Behaviorally based: It addresses behavior, not character, motivation, or personality.
- Balanced: It acknowledges positive behavior as well as opportunities for improvement.
- Actionable: It is something upon which the receiver actually has the ability to effect change.

Some feedback tips:

- Present constructive feedback as a portion of the larger context rather than alone.
- Avoid the use of global statements such as “always/never” and “everyone/no one”.
- Use ‘and’ rather than ‘but.’ ‘But’ tends to negate what came before.
- Replace ‘should’ and ‘have to’ with reasons why.
- Own your feelings. Describe emotions with ‘I feel’ rather than ‘You make me feel.’
- Be very careful about projecting feelings onto others. ‘You make John angry...’
- Stick to what happened and the results of what happened with a clear focus on future performance. ‘This is what happened, this was the result, what can we do to improve on it?’
- Direct the feedback toward behavior that the employee can control. Frustration is increased when an employee is reminded of some shortcoming over which s/he has no control.
- When dealing with defensiveness, re-focus on the commitment. Don’t get caught in the accusations, blame, and defense loop.
- Asking clear and concise questions and using active listening skills are often good ways to move past strong emotions.
- Give concrete examples of what the employee has done -- positive and negative. Provide evidence that you are paying attention and committed to recognizing their positive as well as negative results.
- Review your approach before you speak to the employee. First, how would you feel or respond if you heard this news.

PERFORMANCE PROGRESS REVIEW MEETINGS

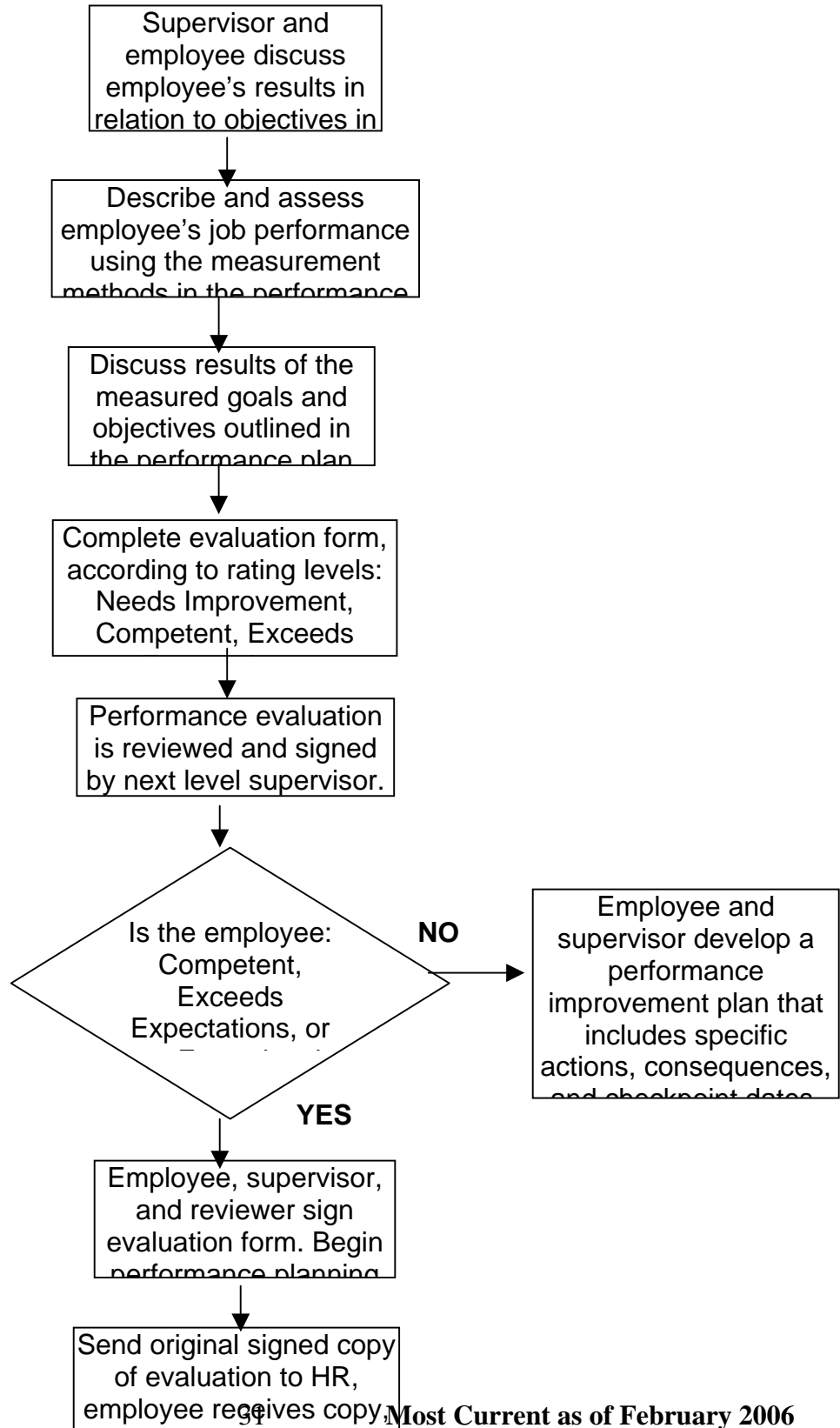
The performance progress review meeting shall consist of four steps:

1. Prepare for the Meeting. Gather the performance plan, personal notes and records, letters and memos from others, and examples of work. Schedule the meeting with the employee at an available time and in an appropriate meeting room that is private and uninterrupted.
2. Review the Plan. The supervisor and employee shall meet not later than the month of October to review the employee’s performance. Meetings may be held more frequently depending on the desires or needs of the supervisor and/or employee. During this meeting the performance plan is reviewed and performance objectives discussed to determine where the expectations have been met, exceeded, or need improvement.
3. Adjust the Plan. Adjustments can be made to the performance plan, if necessary, and the supervisor and employee can clarify the expectations.

4. Document the Discussion. Written documentation of the progress review meeting is indicated in Section IV of the *Performance Management Form* along with narrative observations of performance or other relevant comments as appropriate. The supervisor maintains the original form and a copy is given to the employee.

IV. PERFORMANCE EVALUATION PROCESS

Performance Evaluation Process



Most Current as of February 2006

Performance evaluation is the process of assessing and summarizing the work performance of an employee. Every classified employee must receive a written performance evaluation at least annually (March).

The evaluation session is the culmination of a well thought-out, documented, and understood performance plan. When done correctly, the evaluation provides a detailed and accurate picture of the employee's performance during the evaluation period. Supervisors are responsible for obtaining training in Performance Management and for using the Performance Management System with their employees. All employees need to understand their roles and responsibilities in the process.

PURPOSES OF THE EVALUATION PROCESS

- Improve Employee Performance
- Provide a Basis for Salary Adjustments
- Provide a Basis for Coaching
- Provide Feedback and Input
- Provide basis for Employee Training and Development

EVALUATION PREPARATION

This section advises supervisors how to effectively prepare for the employee evaluation process: preparing to write the evaluation, writing the evaluation, and notifying the employee of the upcoming evaluation session.

Review PDQ and Work Record

Before meeting with the employee, review the PDQ and work record for the evaluation cycle. Obtain performance feedback from people with whom the employee has worked, including direct reports, if appropriate. Where customer service is a key part of the job, feedback from customers may be solicited. Gathering information from other sources should be discussed with the employee as part of the planning process. Review prior performance evaluations, along with any interim progress reviews that have been conducted.

Schedule the performance review meeting with the employee in advance and communicate what you expect the employee to bring to the meeting (self assessment, examples of work, notes, etc.). They should complete a copy of the Performance Management form as a means of self-evaluation; obtain feedback from key co-workers and/or customers; identify specific examples of when they've been successful; and identify methods to utilize skills, strengths and talents and/or improve your skills and improving weaknesses.

If the employee reported to more than one supervisor or manager during the evaluation period, consult with the other supervisor or manager for input on the evaluation. Before including any information in an evaluation that indicated there was a performance problem, ask the previous supervisor or manager if the information about the problem has been shared with the employee and obtain any documentation about the issue.

Two general principles to keep in mind when assessing an employee's performance are:

- Supervisors should exercise due diligence and reasonable judgment in collecting as much information from other sources to assist in assessing an employee's performance. This allows supervisors to base the evaluation on more than just their perceptions of the employee's performance. More sources of information may create credibility in ratings.
- Supervisors must determine what level of influence to give each piece of information. Some sources are more credible, valid, and consistent than others, and it is up to the supervisor to determine the credibility and reliability of each source of information.

Evaluation Pitfalls to Avoid:

- **Impressions vs. Data** – Ask yourself: “Do I have specific information on behaviors or instances to justify my ratings?”
- **Compatibility vs. Non-compatibility** – Ask yourself: “Am I giving a more positive evaluation because this employee is more like me, agrees with me, doesn't ‘make waves’, etc?”
- **Halo vs. Horn** – Ask yourself: “Am I inflating or deflating all the ratings because this person has performed well or poorly in one particular area?”
- **Clarity vs. Fogginess** – Ask yourself: “Can the written comments stand on their own and be understood as I intend them? Will the person being evaluated understand them?”
- **Recency/Primacy** – Ask yourself: “Am I rating performance based on the entire rating period rather than something that happened early on (primacy) or recently (recency)?”
- **Central Tendency vs. Distribution** – Ask yourself: “Am I rating performance based on the employee's areas of strength and areas for improvement or am I taking a ‘middle of the road’ approach?”

The Preliminary Meeting

Schedule a preliminary meeting with the employee. This meeting should take place before the formal evaluation is written. It provides an opportunity to explain what will happen during the evaluation process, review previous performance planning, and solicit information and documentation from the employee regarding his/her view of performance. Conclude the meeting by scheduling a second meeting during which the formal written Performance Evaluation will be presented and reviewed. The supervisor may invite the employee to complete a written self-evaluation to be used in arriving at

the final evaluation. The employee may use a copy of the performance plan to do a self-evaluation.

FORM COMPLETION AND EVALUATION NARRATIVES

Rating Levels:

- **Exceptional Performer:** This is the highest overall rating. This is given to the employee who significantly surpasses expectations, standards, requirements, and objectives in all critical elements of the position; and/or who makes significant and exceptional contributions to the work unit or institution. This rating represents consistently exceptional and documented performance or consistently superior achievement beyond the regular assignment. Employees make exceptional contribution(s) that have a significant and positive impact on the performance of the unit or the organization and may materially advance the mission of the organization. The employee provides a model for excellence and helps others to do their jobs better. Peers, immediate supervision, higher-level management and others can readily recognize such a level of performance.
- **Exceeds Expectations:** This rating is given to an employee who consistently exceeds the expectations, standards, requirements, and objectives of the position. This rating level encompasses the accomplished performers who consistently exhibit the desired competencies effectively and independently while frequently exceeding expectations, standards, requirements, and objectives of the job assigned. Their work has a documented impact beyond the regular assignments and performance objectives that directly supports the mission of the organization.
- **Competent:** This rating is given to an employee who meets a majority of the expectations, standards, requirements, and objectives of the position. This rating level encompasses a range of expected performance. It includes those employees who exhibit competency in the work behaviors, skills, and assignments for the job as well as those employees who are successfully developing in the job. These employees are meeting all the expectations, standards, requirements, and objectives on their performance plan and, on occasion, may exceed them. This is the employee who reliably performs the job assigned.
- **Needs Improvement:** The lowest overall rating. This rating is given to an employee who frequently fails to meet expectations of the job. This rating level encompasses those employees whose performance does not consistently and independently meet expectations set forth in the performance plan as well as those employees whose performance is clearly unsatisfactory and consistently fails to meet requirements and expectations.

Marginal performance requires substantial monitoring to achieve consistent completion of work, and requires more constant, close supervision. Though these employees do not meet expectations, they may be progressing satisfactorily toward

a level 2 rating and need to demonstrate improvement in order to satisfy the core expectations of the position.

If an employee receives a Needs Improvement rating, a performance improvement plan and/or corrective action must accompany the evaluation form. The supervisor must meet with the Director of Human Resources when proceeding with this action.

The written portion of the performance evaluation process includes completing the *Performance Management Form* and writing the evaluation narrative. When completing the performance evaluation for each goal, objective, or behavior consider these questions:

1. How does the level of performance compare with performance standards/measures for this competency, behavior, task, goal, or initiative?
2. How was the level of performance confirmed? What did you see the employee doing or not doing? What do analytical reports or work products show? What information or feedback did you get from co-workers, customers, or other sources?
3. Has the employee been evaluated using both objective and subjective measures?
4. What were the consequences, results, or impact of the performance?
5. Is there a gap between your evaluation and the employee's? What significance is placed on the employee's self-evaluation? How do you account for the difference, if any?

The feedback collected during the course of the review period should substantiate the performance rating for each job factor.

The narrative comments are critically important to the evaluation form. Narratives describe the basis for the evaluation decisions, provide feedback to the employee, and provide a basis for performance planning for the next evaluation cycle.

THE EVALUATION SESSION

Below are guidelines for supervisors to consider before conducting the formal performance evaluation meeting:

- ◆ **Plan what you will say.** Determine the best way to present your points. The emphasis should be on problem solving and future actions.
- ◆ **Select a meeting place that is both comfortable and quiet.** Schedule the meeting to avoid interruptions. Allow adequate time.
- ◆ **Create a positive, communicative atmosphere.** Be sensitive to the employee's feelings, concerns, and questions.
- ◆ **Begin the meeting by discussing the employee's self-evaluation,** if applicable. Discuss areas of agreement and difference.
- ◆ **Review your draft of the *Performance Management Form* with the employee.** Begin by providing positive feedback. Point out specific accomplishments, noting how they have contributed to the group's efforts.
- ◆ **Discuss areas that need improvement.** Ask the employee for suggestions about how to improve performance. Introduce your ideas, as well. Emphasize problem solving and concentrate on future actions for any areas that need improvement.
- ◆ **Avoid discussing motivation or personal issues.** Concentrate on the employee's behavior and the consequences of that behavior to the individual and the department.
- ◆ **Always allow the employee the opportunity to discuss feelings and reactions to your input and feedback.** Listen to the employee. Encourage suggestions – allow the employee to say what needs to be said.
- ◆ **If the employee disagrees with you, allow him or her to state feelings honestly.** Listen without arguing or defending your point of view. Be prepared to adjust your viewpoints, if appropriate.
- ◆ **If the employee has been rated as “Competent”, “Exceeds Expectations”, or “Exceptional Performer,”** set goals and objectives for the next review session.
- ◆ **If the employee has been rated as “Needs improvement,”** at a minimum, work together to create an improvement plan. (A corrective action can be issued if appropriate. If the supervisor wishes to use this tool, CSM policy requires that the supervisor consult with the CSM Director of Human Resources PRIOR to issuing the corrective action.) The performance improvement plan should include the following:

1. Very specific actions and behaviors that the employee is expected to demonstrate.
 2. Consequences for failing to meet these expectations.
 3. Specific checkpoint dates.
- ◆ **After any necessary changes have been made to the *Performance Management Plan & Evaluation Form*, ask the employee to sign the form.** The employee's signature indicates that he or she has read the evaluation and a discussion has taken place. It does not signify that the employee agrees with the evaluation.
 - ◆ **If the employee refuses to sign the form**, the supervisor should note that the employee refused to sign the form, date it, and sign it. If an employee disagrees with the performance plan or evaluation s/he must complete a Dispute Resolution Form and follow the instructions for that process.
 - ◆ **The supervisor may attach work standards, supplemental performance information, work samples, and additional comments.** Inform the employee that comments can be added or attached to the *Performance Management Form*.
 - ◆ **After the evaluation is signed by the Reviewer, the original signed form should be forwarded to the Office of Human Resources to be included in the employee's personnel file.** A copy should be made for the employee, and a copy retained for the work unit's files.

V. DISPUTE RESOLUTION PROCESS

Employees and managers may have differences of opinions related to performance standards and evaluation ratings. Employees may question certain matters regarding performance plans and ratings through the dispute resolution process. The purpose of the dispute resolution system is to create an open, impartial, and non-confrontational opportunity that allows the parties to have issues heard. Retaliation against any person involved in the dispute resolution process is prohibited and will be dealt with according to CSM policy.

Employees may only dispute the following issues:

- **Their own performance plan (or lack of a plan);**
- **Their own final performance evaluation or the lack of a final evaluation;**
- **Application of CSM's Performance Pay Program, policies, or processes to the individual employee's performance plan or final evaluation; or**
- **Full payment of a performance salary adjustment.**

The following issues are NOT disputable*:

- **The content of CSM's Performance Pay Program;**
- **Matters related to the funds appropriated;**
- **The performance evaluation and salary adjustments of other employees;**
and
- **The amount of a performance salary adjustment, including whether it is base or non-base building, any combination or none, unless the issue involves the application of CSM's Performance Pay Program.**

**Although these issues are not disputable, supervisors and managers are encouraged to make sincere efforts in responding to, and/or addressing any concerns raised by their employees.*

There are two stages within the Dispute Resolution Process – the Internal Stage and the External Stage. CSM believes in resolving concerns as quickly as possible and at the lowest level possible. Therefore, CSM will attempt to solve all issues related to performance management at the Internal Stage. The Internal Stage will address issues concerning the individual's performance plan (or lack of a plan) and the individual's performance evaluation or lack thereof. These issues will be addressed at the institution level, and employees will have no further recourse for resolution of these matters.

The External Stage addresses disputes concerning the application of the CSM Performance Pay Program, policies or processes to the individual employee's performance plan or final evaluation, or full payment of a performance salary adjustment. Discussions about these disputes should begin at the Internal Stage. If there is no resolution at the Internal Stage, the issue may proceed to the State Personnel Director.

Performance evaluation disputes that allege discrimination must be referred to the State Personnel Board at 1120 Lincoln, Suite 1420, Denver, CO, 80203.

The Colorado School of Mines Performance Dispute Resolution Form and instructions for the process will be given to CSM employees annually. An employee wishing to initiate the Dispute Resolution Process, regarding the appropriate issues identified above, will advise his/her supervisor within **three working days** of the event. The employee must complete the CSM Performance Dispute Resolution Form and provide a copy of the form to the immediate supervisor, Division and/or Department Head of the employee's work unit, and to the CSM Director of Human Resources.

The supervisor will have **five working days** upon receipt of the Dispute Resolution Form to schedule a meeting with the employee, the supervisor, and the next level supervisor (or reviewer) to discuss the issues. Extension of this time frame is allowed only if both parties agree, or in the event that the reviewer is away from CSM (in such a case, the meeting must be scheduled within five working days of the reviewer's return to CSM).

Three working days following the meeting, the supervisor will provide the employee with a written response to the employee's concerns. The written response shall include the issues discussed, possible resolutions, and the collective decision of the supervisor and the reviewer. A copy of this response must be provided to those who took part in the meeting and to the CSM Director of Human Resources.

If the employee is not satisfied with the initial decision, he/she can request a second review, submitted in writing, to their appropriate Vice President. This request for a second review must occur within **three working days** of receipt of the initial decision. The Vice President will have **five working days** to meet with the employee and the two supervisory employees.

The Vice President will review the facts surrounding the current action but shall not substitute his or her judgment for that of the rater and/or reviewer. The Vice President will issue his/her decision within **three working days** of the meeting. This decision shall be binding on all issues except those that allege that the CSM Performance Management Program was not followed or that complete payment of the approved performance salary adjustment was not made. For those that allege that the plan was not followed or payment of an approved performance salary adjustment was not received, the employee may proceed to the External Stage.

No party has an absolute right to legal representation, but an advisor may accompany the employee at any step within this process. The role of the advisor is to assist the employee in the process but the employee is expected to present his/her issues in these meetings.

The Director of the State Personnel Department administers the External Stage. Only original issues involving the application of the performance management program, or full payment of an award may advance to this stage.

Within **five working days** from the date of the agency's final decision, an employee may file a written request for review with the Director at 1120 Lincoln, Suite 1420, Denver, CO, 80203. The request shall include a copy of the **original** issue(s) submitted in writing and the written decision at the final internal review stage. All requests for review are subject to an initial screening to determine if the review is warranted. Such screening is based on specific criteria published by the Director. If a determination is made that further review is not warranted, it is final and binding and the employee will be notified accordingly. If further review is warranted, the Director or designee shall select a qualified neutral third party to review the issue(s). The neutral third party has 30 days to issue a written decision, which is final and binding.

VI. PERFORMANCE SALARY ADJUSTMENT DECISIONS

Pay associated with the Colorado School of Mines Performance Pay Program is governed by the following statewide requirements:

10. Appointing authorities are responsible for making pay decisions based on the evaluation rating. All increases are subject to available funding and no increase is guaranteed.
11. Prior to the payment of annual performance salary adjustments, the State Personnel Director shall specify and publish the percentage ranges for performance levels based on the available statewide performance pay funding. This will be done in conjunction with the Total Compensation Survey that is conducted according to statute and published each year. Part of these components will include the establishment of maximum increases, which may be stated as a percentage range or a set percent.
12. Consistent with the provisions established by the State Personnel Director, CSM will specify the limits for the Competent (X%), Exceeds Expectations (Y%), and Exceptional Performer (Z%). Within the parameters as specified by the State Personnel Director, CSM's levels may be based upon available budget, student enrollment levels, employee demographics, distribution of ratings, or other permissible factors.
13. Salary increases can be base building, non-base building, or a combination thereof as published by the State Personnel Director. No quotas or forced distribution processes for determining the number of ratings in any of the four performance levels shall be established. The effective date of these increases will be July 1st of each year or other date as required by law, personnel rule or as allowed by CSM procedures.
14. For purposes of the state's performance pay system, a pay range will be defined as the range of base salary between the minimum and maximum of the grade set for a class.
15. Only employees below the maximum of the range are eligible for base building performance salary adjustments. Base building performance salary adjustments cannot exceed the pay range maximum. Only Exceptional Performers may be granted a non-base building performance salary adjustment from 0% to Z% that results in a dollar amount above the pay range maximum (the upper limit of "Z" is determined annually by the State Personnel Director and by CSM using the parameters set by the State Personnel Director).
16. Employees currently at the maximum of the range are eligible for performance salary adjustments only if their rating is Exceptional Performer. In these instances, payments are limited to non-base building performance salary adjustments (0% to Z%). Employees at the maximum of the range who receive

an Exceeds Expectation or Competent rating are not eligible for any performance increase.

17. Regardless of the performance level, an employee cannot be granted an increase, or combination of increases, greater than the set performance maximum that is established by the State Personnel Director.
18. An employee who receives an overall Needs Improvement rating is not eligible for a performance salary adjustment.

The funding process for CSM and other institutions of higher education is different than for other state agencies. Other state agencies have a 'line item' for funding increases for performance salary adjustments and increases in benefits contributions. This is not the case for CSM and other state institutions of higher education. A significant portion of the funding for salary survey increases and performance increases often is based on the tuition (increases/decreases) levels of graduate and undergraduate students who attend CSM. Therefore, student enrollment levels could have an impact on the funds available for performance salary adjustments.

CSM is committed to funding pay increases for both faculty and classified staff. In addition to funding salary survey for classified staff, CSM desires to make comparable funds available for faculty raises. However, future revenue must be considered before increase percentages can be finally determined.

CSM also encourages the use of non-monetary increases to supplement base-building performance salary adjustments. Quotas or forced distribution processes for determining the number of ratings at any of the four rating levels is strictly prohibited. Decisions regarding all base and non-base building increases will be allocated at the Vice President level. The type of increase (base, non-base, or a combination of both) available for classified employees shall be jointly determined by the Vice Presidents and will be consistently applied to all eligible classified employees. The type of increases and percentages available will be communicated to employees prior to payment. The Vice Presidents shall establish minimum common criteria for determining eligibility for base, non-base or combination increases. Source of funds (e.g., cash, general, or research), and length of state service shall not be criteria for distinguishing between non-base and base building or combination performance increases. All performance salary adjustments shall be based on July 1 salary in the order as prescribed under State Personnel Procedure 3-7.

The performance salary adjustment for an employee, without prior continuous state service, hired during the evaluation period may be prorated based on the month of hire as annually determined by CSM (i.e., an person employed for six months of the twelve-month cycle would receive half of the increase to which they would otherwise be entitled). An employee hired after being a temporary employee in the same role may have his/her performance as a temporary considered in their overall performance rating. However, any performance salary adjustment to which they may be entitled shall be prorated based on the month of hire as a permanent employee.

Transferring employees without a break in service and employees promoting from other state employers shall be entitled to a full performance salary adjustment based on their final performance rating. Consideration may be given to the rating received from their former employer. As a condition of employment, hiring supervisors should have an agreement with the transferring/promoting employee whether the former evaluation will be considered.

Employees transferring or promoting between CSM departments are entitled to a full performance salary adjustment based on their final performance rating. Consideration shall be given to the interim rating given by the former supervisor. The new supervisor/department shall be financially responsible for any increase received by the new employee.

The performance salary adjustment for an employee on an extended 'leave' or 'leave without pay' is at the discretion of the supervisor and appointing authority. A full or partial performance salary adjustment may be given.

VII. TRANSFERS

There are three types of transfers available to classified employees: (1) transfer to another supervisor in the same department, (2) transfer to another campus department, and (3) transfer to another state agency or university campus. Each type of transfer involves performance management and performance pay issues.

1. Transfer to another supervisor in the same department. The previous supervisor should close out the performance plan that had been previously established, and a new plan should be created with the new supervisor. At the end of the evaluation period, the two supervisors should jointly determine a recommendation for a performance award, if any.
2. Transfer to another campus department. The supervisor from the previous department should close out the performance plan before the transfer date. The new supervisor must create a new plan within 30 days of the effective transfer date. No performance pay obligation is transferred to the receiving department.
3. Transfer to another state agency or university campus. The supervisor of the previous agency closes out the performance plan before the transfer date. No performance pay obligation is transferred to the receiving agency or campus.

Glossary of Terms

Advisor: An individual who assists a party during the dispute resolution process in explaining the process, helping identify issues, preparing documents, and attending meetings.

Base-building award: A sum of money earned by an employee that increases base pay.

Base pay: Salary, excluding any premiums, paid on a fixed, non-variable basis.

Benchmark: A standard or a point of reference used in measuring and/or judging quality or value.

Bonus: A sum of money, or other compensation, given to an employee in addition to the employee's base pay. It is a form of extra payment over the job rate and must be re-earned annually.

Classified employee: An employee of Colorado state government required by the Constitution of the State of Colorado to be covered by the Rules and Procedures of the State Personnel System.

Dispute Resolution Process: Under CSM Peak Performance, the process used to resolve issues with (1) an employee's performance plan or rating, (2) the application of the agency's performance management and evaluation plan, policies, or processes to the individual's plan or evaluation, or (3) the full payment of an award.

Downward movement: For compensation purposes, changing a position, class, or employee from a class or grade to another with a lower job rate (e.g., job evaluation, system maintenance study including class placement, total compensation survey adjustments, and non-disciplinary or disciplinary demotions).

Goal: A target level of an activity expressed as a tangible measurable objective, against which actual achievement can be compared.

Incentive: A monetary or non-monetary reward that is given to employees based on performance. The purpose of incentives is to promote high productivity and quality.

Lateral movement: For compensation purposes, changing a position, class, or employee from a class or grade to another that is the same or has the same job rate (e.g., job evaluation, system maintenance study including class placement, total compensation survey adjustments, and transfer).

Mission: An enduring statement of purpose; the organization's reason for existence. The mission describes what an organization does, who it does it for, and how it does it.

Non-base building award: A monetary or non-monetary award earned by an employee that must be re-earned annually.

Non-base pay: An amount of pay that is not added to an employee's base pay and that must be re-earned.

Non-monetary award: A non-cash reward that is given based on performance.

Occupational groups: Ten groupings that contain all of the job classes within the State Personnel system: (1) enforcement and protective services, (2) financial services, (3) health care services, (4) labor/trades/crafts, (5) medical, (6) management, (7) administrative support services, (8) professional services, (9) physical sciences and

engineering, and (10) teachers. The ten groups are developed based on job evaluation and compensation processes.

Open range: A salary range with minimum and maximum salaries and no intermediate steps.

Pay plans: The listing of all pay grades and salary ranges for a specified group of classes in the State Personnel system. Each occupational group has a unique pay plan.

Pay range: The spread of salaries between minimum and maximum rates for a specific class. A pay range is established based on the annual Total Compensation Survey. The width of pay ranges varies by occupational groups.

Performance-based pay: Pay that is tied directly to an employee's performance evaluation. Agencies may exercise discretion in administering the amount of performance-pay awards under the general guidelines.

Performance management: A collaborative process between the manager and employee that is created and implemented to ensure that employee performance is identified, selected, developed, and rewarded. The structure of this process is based on three elements: (1) mission and guiding principles of the Colorado School of Mines, (2) goals and strategies of the work unit, and (3) performance required for success of the employee and the Colorado School of Mines.

Performance Measure: A quantitative or qualitative characterization of performance.

Prevailing wage: As defined by statute, employees in the State Personnel system are to be compensated according to comparable salaries and fringe benefits prevailing in other places of public and private employment.

Professional exempt employee: State employees legally exempt from the State Personnel system.

Rating levels: Four performance rating levels exist in CSM Performance Management System (1) Needs improvement, (2) Competent, (3) Exceeds Expectations, and (4) Exceptional Performer.

Salary survey: See Total Compensation Survey.

Saved pay rate: Temporary means of maintaining current base pay during certain situations in which employees are reduced in grade. Such saved pay rates are any amount of base pay above the traditional maximum amount of the grade for the class, up to the statutory lid.

Strategic Goal: A long-range target that guides an organization's efforts in moving toward a desired future state.

Strategic Planning: A continuous and systematic process whereby guiding members of an organization make decisions about its future, develop necessary procedures and operations to achieve that future, and determine how success is to be measured.

Total Compensation Survey: Also known as salary survey. An annual process required by law to establish prevailing wages for employees in the State Personnel System. Third-party survey publications are collected and matched with state classes in order to compare the pay and benefit rates between the labor market and the state.

Upward movement: For compensation purposes, changing a position, class, or employee from a class or grade to another with a higher job rate (e.g., job evaluation, system maintenance study including class placement, total compensation survey adjustments, and promotion).

Variable pay: A compensation component that varies with an employee's performance and is not part of base pay.

Vision: An idealized view of a desirable and potentially achievable future state where or what an organization would like to be in the future.



Performance Management Plan and Evaluation

(Please Print or Type)

I. Identification Section

Rating Period: _____ to _____

Employee's Name: _____

Job Title: _____

Pos. No: _____

Working Title: _____

(If Applicable)

Department: _____

Reason: ☐ Annual ☐ Interim ☐ Change in position ☐ Change in supervisor

II. Capsule Job Description (From Item II, Page 1 of PDQ)

The Position Description Questionnaire (PDQ) identifies the duties and responsibilities assigned to all positions within the State of Colorado Personnel System. It is important to make sure that the PDQ is current and accurate. Briefly outline the essential duties below.

Does this position supervise others?

☐ No ☐ Yes (If yes, complete the Supervisor/People Management Factor)

III. Planning Section: In the section below outline the goals and objectives (make sure they are specific, realistic and measurable), and expectations (tell how they will be measured) for the position and identify any

specific projects or activities for the review period. Include at least two individual performance measures (IPM's). (See User's Guide for assistance)

Supervisor Signature

Date

Employee Signature

Date

IV. Coaching/Progress Review In the section below document any observations and feedback meetings held throughout the review period. Identify any strengths, accomplishments, areas needing further development, and/or training provided.

Supervisor Signature

Date

Employee Signature

Date

Rating Levels Statewide Definitions

These standard definitions are intended as a framework and guide for distinguishing the levels of performance in general. While these elements must be incorporated into the standards used for each rating area, they may also be augmented and refined for each situation as appropriate.

Definition of Exceptional Performer

This rating represents consistently exceptional and documented performance or consistently superior achievement beyond the regular assignment. Employees make exceptional contribution(s) that have a significant and positive impact on the performance of the unit or the organization and may materially advance the mission of the organization. The employee provides a model for excellence and helps others to do their jobs better. Peers, immediate supervision, higher-level management and others can readily recognize such a level of performance.

Definition of Exceeds Expectations

This rating level encompasses the accomplished performers who consistently exhibit the desired competencies effectively and independently while frequently exceeding expectations, standards, requirements, and objectives of the job assigned. Their work has a documented impact beyond the regular assignments and performance objectives that directly supports the mission of the organization.

Definition of Competent

This rating level encompasses a range of expected performance. It includes those employees who exhibit competency in the work behaviors, skills, and assignments for the job as well as those employees who are successfully developing in the job. These employees are meeting all the expectations, standards, requirements, and objectives on their performance plan and, on occasion, may exceed them. This is the employee who reliably performs the job assigned.

Definition of Needs Improvement

This rating level encompasses those employees whose performance does not consistently and independently meet expectations set forth in the performance plan as well as those employees whose performance is clearly unsatisfactory and consistently fails to meet requirements and expectations.

Marginal performance requires substantial monitoring to achieve consistent completion of work, and requires more constant, close supervision. Though these employees do not meet expectations, they may be progressing satisfactorily towards a Competent rating and need to demonstrate improvement in order to satisfy the core expectations of the position.

General Instructions: Every State Classified employee must be evaluated on the five Core Competencies identified below (the Supervisory factor should be utilized only for positions that actually supervise others). All jobs should have at least two additional Individual Performance Measures. **The supervisor must give examples of strengths and successful accomplishments and/or areas requiring improvement and growth in the Evaluation Section. This section shall also document how the examples were measured. IF AN EMPLOYEE RECEIVES AN OVERALL NEEDS IMPROVEMENT ON ANY OF THE CORE COMPETENCIES, THEY ARE NOT ELIGIBLE FOR A EXCEPTIONAL PERFORMER RATING.**

A. Accountability: *The degree to which the employee's work behaviors demonstrate responsible personal and professional conduct, which contributes to the overall goals and objectives of CSM.* The employee knows and adheres to attendance, leave and other relevant policies, procedures, rules and regulations; displays a positive attitude, conveys a positive image of CSM, and encourages others to do well; takes the initiative to improve professional growth; is motivated, flexible, and committed to performing high quality work; demonstrates high standards of ethical conduct; etc.

Evaluation Section: **Provide comments and/or examples justifying the overall rating.**

Factor Rating: Needs Improvement Competent Exceeds Expectations Exceptional Performer

B. Interpersonal Relations: *The degree to which the employee interacts effectively with others to establish and maintain smooth working relations.* The employee develops and maintains effective, professional relationships; gains confidence and trust; considers and responds tactfully to the needs of others; takes personal responsibility for own words and actions, respects the opinions of others, etc.

Evaluation Section: **Provide comments and/or examples justifying the overall rating.**

Factor Rating: Needs Improvement Competent Exceeds Expectations Exceptional Performer

C. Job Knowledge: *The degree to which the employee is skilled in job-specific knowledge that is necessary to provide the appropriate quantity and quality of work in a timely and efficient manner.* The employee meets work standards, schedules, and deadlines; demonstrates efficiency in completing duties; sets priorities, is motivated; makes sound, well-informed, objective decisions; resolves problems; makes continuous improvements and takes on additional duties as needed.

Evaluation Section: **Provide comments and/or examples justifying the overall rating.**

Factor Rating: Needs Improvement Competent Exceeds Expectations Exceptional Performer

D. Customer Service: *The extent to which the employee works effectively with internal and external customers and/or clients to satisfy their service/product expectations.* The employee demonstrates a knowledge of products and services; gets the customer's input; assesses their needs; focuses on finding solutions and/or offers alternatives; responds to requests for information, products, or services promptly, courteously, and effectively; etc.

Evaluation Section: **Provide comments and/or examples justifying the overall rating.**

Factor Rating: Needs Improvement Competent Exceeds Expectations Exceptional Performer

E. Communication: *The degree to which the employee effectively communicates by actively listening and sharing relevant information with co-workers, supervisor(s) and clients so as to anticipate problems and ensure the effectiveness of CSM.* The employee keeps co-workers, supervisors, and customers informed; actively listens; provides clear instructions and expectations; and communicates effectively orally and in writing in a manner that is well organized, appropriate, and courteous; etc.

Evaluation Section: **Provide comments and/or examples justifying the overall rating.**

Factor Rating: Needs Improvement Competent Exceeds Expectations Exceptional Performer

F. Supervision/People Management: The degree to which the supervisor assigns work, develops deadlines, and provides ongoing feedback; demonstrates leadership by promoting teamwork, diversity, and cooperation; provides opportunities and gives recognition; clarifies and communicates performance expectations; provides ongoing behavioral feedback and annual performance appraisals; exercises discipline and resolves conflict fairly and constructively; trains, coaches, and develops subordinates; delegates responsibility as appropriate; etc.

Evaluation Section: **Provide comments and/or examples justifying the overall rating.**

Factor Rating: Needs Improvement Competent Exceeds Expectations Exceptional
Performer

G. Individual Performance Measure (Identify the IPM in the space provided below)

Evaluation Section: **Provide comments and/or examples justifying the overall rating.**

Factor Rating: Needs Improvement Competent Exceeds Expectations Exceptional
Performer

H. Individual Performance Measure (Identify the IPM in the space provided below)

Evaluation Section: **Provide comments and/or examples justifying the overall rating.**

Factor Rating: Needs Improvement Competent Exceeds Expectations Exceptional Performer

Note: Add additional IPM sections as needed.

VII. Signatures

Overall Factor Rating:

Needs Improvement Competent Exceeds Expectations Exceptional Performer

(Note: If a “Needs Improvement” rating is assigned, a “Performance Improvement Plan” must be attached OR a Corrective Action must be issued OR both.)

Supervisor Signature

Date

I _____ ☐ agree ☐ disagree* with the performance appraisal. Employee Signature
explaining why. *Attach an additional sheet

Date

Evaluation Summary: In the section below give justification for the overall factor rating given.

VIII. Institutional Review

Comments:

The reviewer agrees with the review ☐ as submitted or ☐ as amended.

Reviewer Signature

Date